

State of Maryland

**IT Project
Portfolio Management
Program**

State of Maryland

IT Project Portfolio Management Program



Department of Budget and Management

Office of Information Technology

State of Maryland IT Project Portfolio Management Program

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I. Introduction

Through the Office of Information Technology, the State of Maryland is implementing a centralized structure for the management and legislative reporting of major IT project investments across the state. This document presents the framework for the activities associated with the management of major IT project investments and contains the major components and interactions between the agencies performing the projects and the guidance / oversight functions of the Department of Budget and Management. The program is presented here in a top-down manner linking the investment management functions of selection, control, and evaluation at the strategic, tactical, and operational layers of portfolio management, investment management, and project management.

The major objectives of this program are:

- A. To provide effective selection, oversight, and reporting of major IT projects as legislated in Chapters 467 and 468 of the Acts of 2002,
- B. Focus accountability for the success of IT projects within the agencies sponsoring and performing the projects, and
- C. Identify trends in project performance in order to leverage the benefit of lessons learned and guide the development of statewide project policies and guidance to enhance IT project success.

The legend for the Activity Models and Timeframe charts is:

Blue – represents Agency personnel as primary in the activity

Red – represents DBM OIT as primary in the activity

Green – represents DBM OBA as primary in the activity

Program Authority and Scope

Chapters 467 and 468 of the Acts of 2002 stipulate the duties and oversight responsibility of the State CIO within the Office of Information Technology in the Department of Budget and Management. Key to the development and implementation of this program are the following clauses:

1. THE CHIEF SHALL REVIEW AND APPROVE MAJOR INFORMATION TECHNOLOGY DEVELOPMENT PROJECTS AND SPECIFICATIONS FOR CONSISTENCY WITH STATEWIDE PLANS, POLICIES, AND STANDARDS, INCLUDING A SYSTEMS DEVELOPMENT LIFE CYCLE PLAN.
2. THE CHIEF SHALL BE RESPONSIBLE FOR OVERSEEING THE IMPLEMENTATION OF MAJOR INFORMATION TECHNOLOGY DEVELOPMENT PROJECTS, REGARDLESS OF FUND SOURCE.
3. EXPENDITURES FOR MAJOR INFORMATION TECHNOLOGY DEVELOPMENT PROJECTS SHALL BE SUBJECT TO THE APPROVAL OF THE CHIEF WHO SHALL APPROVE EXPENDITURES ONLY WHEN THOSE PROJECTS ARE CONSISTENT WITH STATEWIDE PLANS, POLICIES, AND STANDARDS.
4. THE CHIEF SHALL APPROVE FUNDING FOR MAJOR INFORMATION TECHNOLOGY DEVELOPMENT PROJECTS ONLY WHEN THOSE PROJECTS ARE SUPPORTED BY AN APPROVED SYSTEMS DEVELOPMENT LIFE CYCLE PLAN.
5. THE CHIEF MAY APPROVE FUNDING INCREMENTALLY, CONSISTENT WITH THE SYSTEMS DEVELOPMENT LIFE CYCLE PLAN.

The program components presented in this document comprise the standards by which this responsibility will be executed.

All major IT development projects are included within the scope of this program. As defined in Chapters 467 and 468 of the Acts of 2002, "MAJOR INFORMATION TECHNOLOGY DEVELOPMENT PROJECT" MEANS ANY INFORMATION TECHNOLOGY DEVELOPMENT PROJECT THAT MEETS ONE OR MORE OF THE FOLLOWING CRITERIA:

- THE ESTIMATED TOTAL COST OF DEVELOPMENT EQUALS OR EXCEEDS \$1 MILLION;
- THE PROJECT IS UNDERTAKEN TO SUPPORT A CRITICAL BUSINESS FUNCTION ASSOCIATED WITH THE PUBLIC HEALTH, EDUCATION, SAFETY, OR FINANCIAL WELL-BEING OF THE CITIZENS OF MARYLAND; OR
- THE SECRETARY DETERMINES THAT THE PROJECT REQUIRES THE SPECIAL ATTENTION AND CONSIDERATION GIVEN TO A MAJOR INFORMATION TECHNOLOGY DEVELOPMENT PROJECT DUE TO:
 - THE SIGNIFICANCE OF THE PROJECT'S POTENTIAL BENEFITS OR RISKS;
 - THE IMPACT OF THE PROJECT ON THE PUBLIC OR LOCAL GOVERNMENTS;
 - THE PUBLIC VISIBILITY OF THE PROJECT; OR
 - OTHER REASONS AS DETERMINED BY THE SECRETARY.

In 2002 the Department of Budget and Management stipulated that all agencies establish an appropriated program within the Statewide R*STARS (FMIS) system, that all projects deemed to be major information technology development projects be established as a separate sub-program under this appropriated program, and that budgets for those projects are posted at the sub-program level in the system. *It is through this means that the Department of Budget and Management will carry out its fiscal responsibilities attendant to this legislation by withholding funds for projects not compliant with the components of this program.*

II. Program Description

A. Strategic Level – Portfolio Management

Description

Activities and vehicles involved with the management of a collection of IT investments to achieve State goals. State of Maryland Portfolio Management includes the creation and linking of:

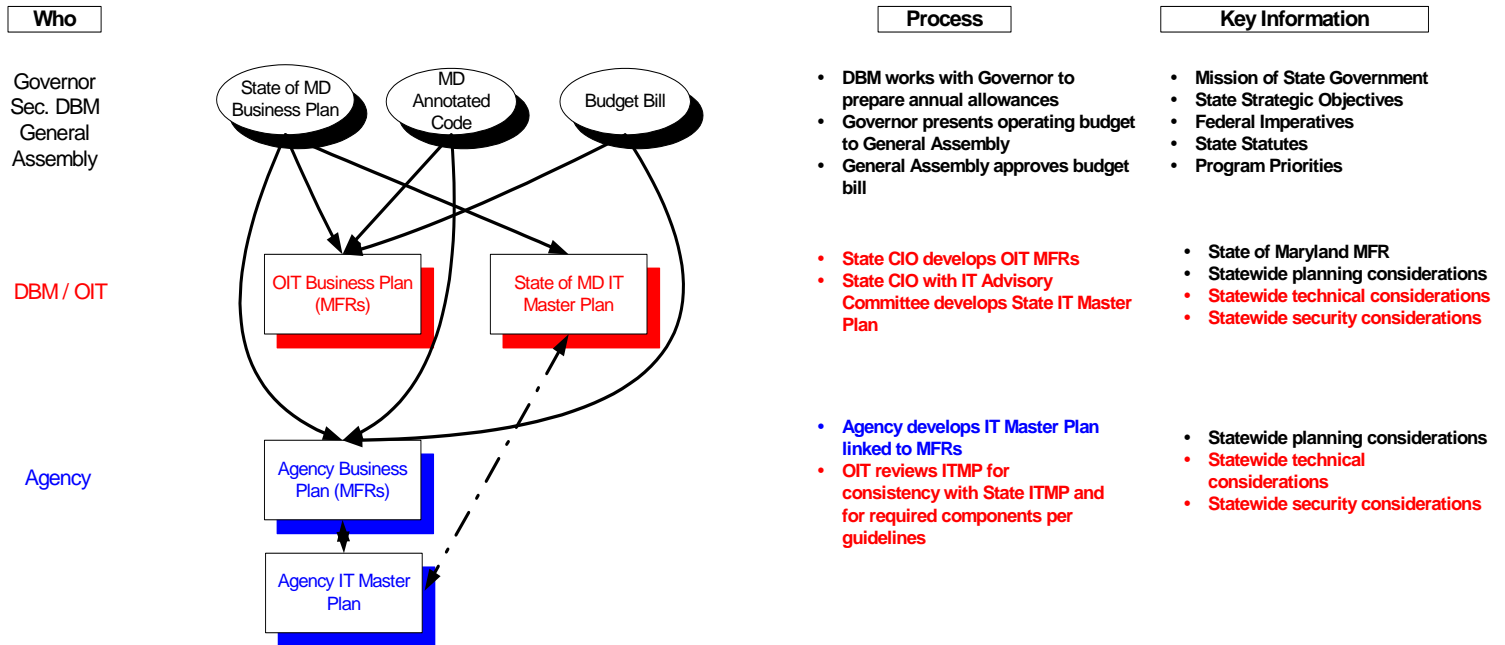
State of Maryland Business Plan / Managing for Results (MFR)
Office of Information Technology Business Plan / MFR
State IT Master Plan
Agency Business Plans / MFRs
Agency IT Master Plans

Overview

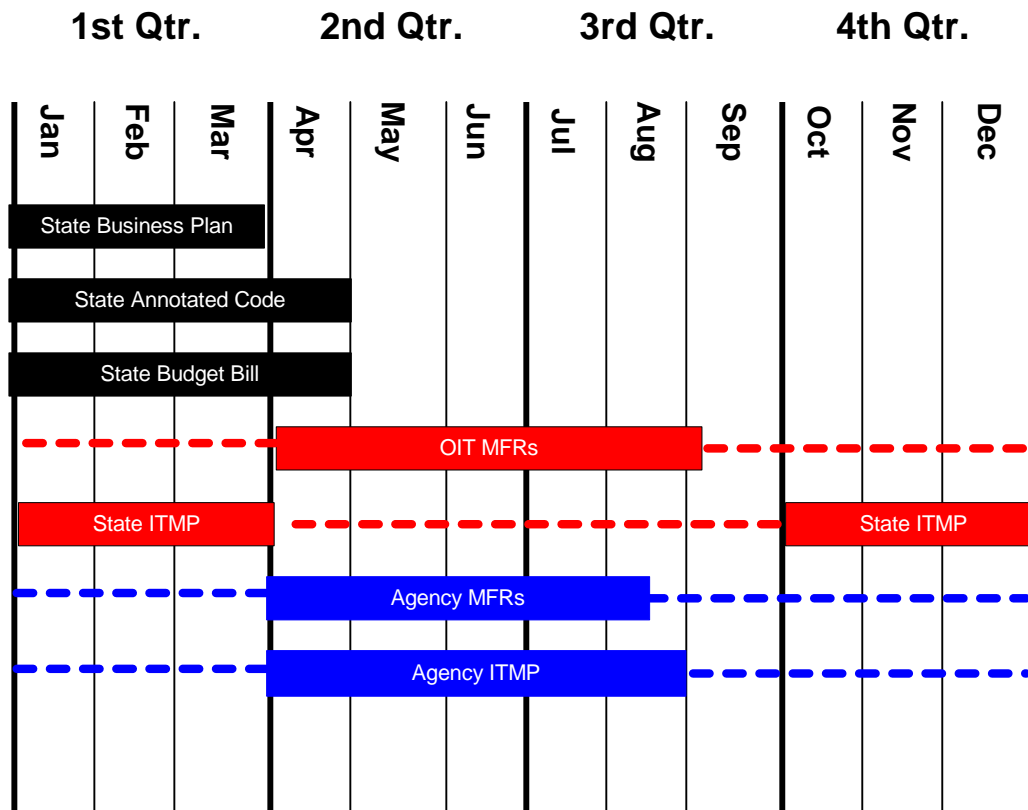
At the highest level, Information Technology Portfolio Management in the State of Maryland begins with the development of annual business and IT plans. Based on the State's business plan (program priorities, legislative mandates, and budget appropriations), each agency creates or updates business goals, objectives, and strategies through the State's Managing for Results (MFR) program. From these plans a companion IT Master Plan is created or updated and this serves as the base for project activities across the state. In addition to the agency business plan (MFR), agencies will also reference a statewide IT master plan, when in place, in creating their IT plans.

Agency IT Master Plans (ITMPs) are submitted to the Office of Information Technology by the end of August for the following fiscal year. OIT reviews agency ITMPs for adherence to published guidelines and for consistency with the state ITMP. OIT resolves differences with the agency.

Activity Model



Timeframe



B. Tactical Level – Investment Management

Description

Activities and vehicles involved with the selection, control, and evaluation of individual IT investments. For the purposes of this model, IT investments consist of Major IT Development Projects.

Overview

The State of Maryland's Investment Management program focuses on the annual review, approval and monitoring of major IT activities across the state. The program follows a 'Select-Control-Evaluate' model that supports the creation annual IT budgets and monitors adherence to established IT policies, standards, and guidelines.

Information Technology Project Requests (ITPRs) are submitted to the Office of Information Technology (OIT) by the end of August, along with the ITMPs. OIT reviews these requests for consistency with the agency ITMP and analyzes the components of the request in order to make a recommendation regarding funding consideration. Additional desired information is provided by the agency and OIT forwards its recommendation to the Office of Budget Analysis (OBA) within DBM.

OBA considers each project request in the context of the overall agency budget submission and, based on budget guidelines from the Governor's office, recommends whether an allowance for the project should be considered.

OIT creates a separate section for the annual budget book submission containing pertinent information regarding all major projects receiving allowances from the Governor. This section is published in early January to the Legislature as part of the other budget book volumes.

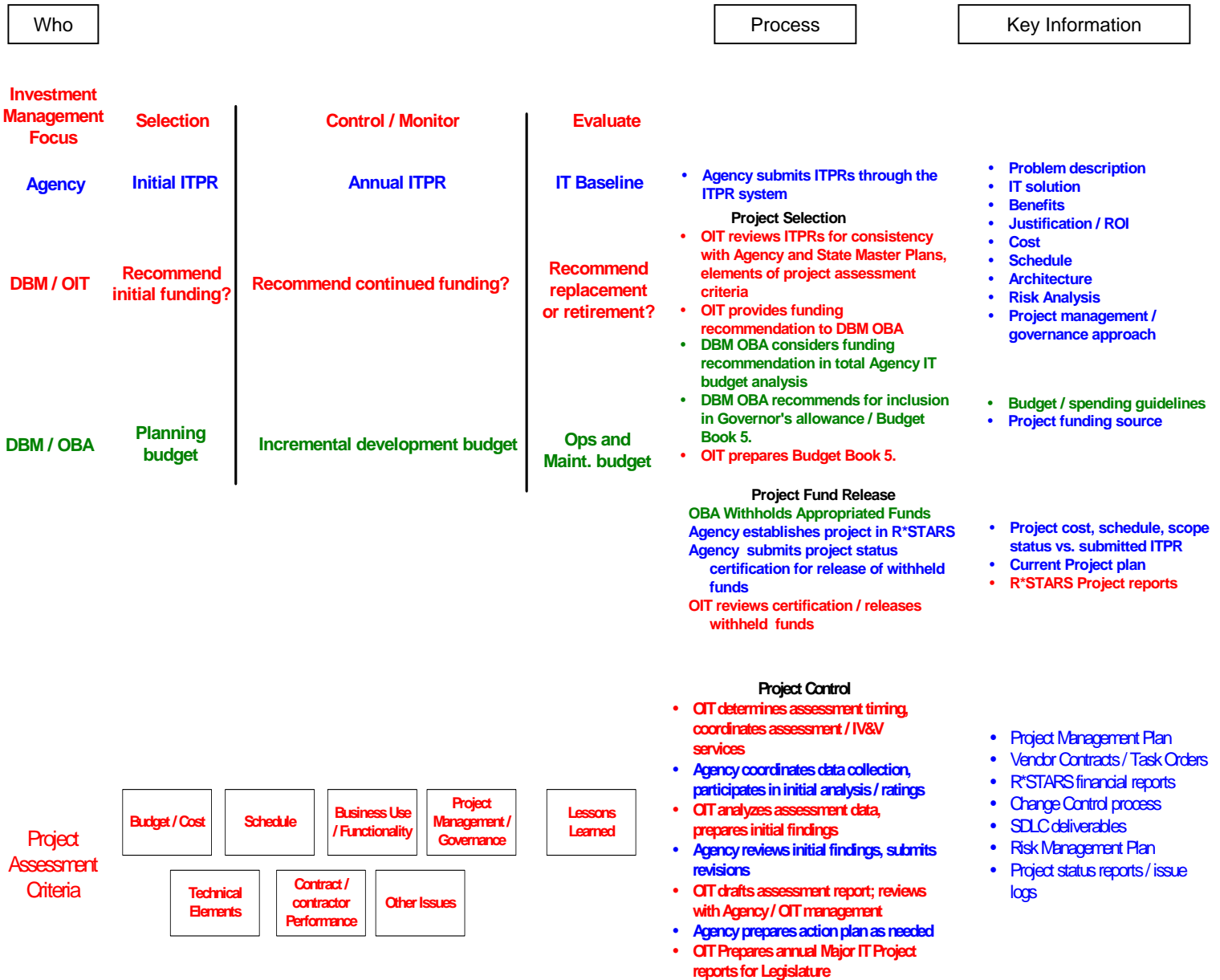
The State Legislature, through budget hearings, determines the major IT development projects for which funds will be appropriated in the upcoming fiscal year. These projects must be established in the Statewide accounting system (R*STARS) in accordance with published standards. Financial tracking and reporting on these projects is produced from the R*STARS system.

Appropriated funds for major IT development projects are withheld from use pending OIT verification of project status and financial accounting setup.

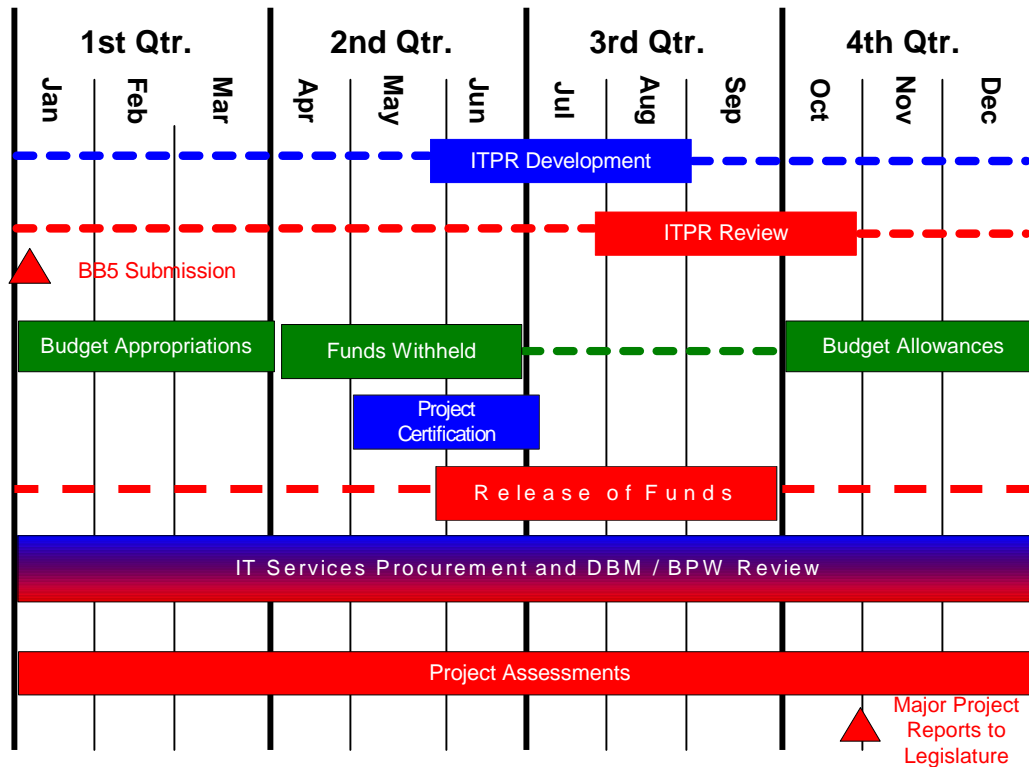
IT Requests for Proposal and contracts for IT services must be reviewed and approved by OIT in support of statewide procurement regulations. The review requirements vary depending on type and size of the procurement.

OIT is also responsible for oversight of major IT development projects. OIT monitors project activities through the review of periodic assessments of project progress and examines components critical to project success. Where reasonable, these assessments are tied to milestone points in the project life cycle. Agency project teams are responsible for developing and executing action plans to address any significant issues from the project assessments.

Activity Model



Timeframe



DBM & BPW APPROVAL AUTHORITY CHART FOR CONTRACTS APPROVED AFTER 5/1/2003 FOR SERVICES (INCLUDES REVENUE) & INFORMATION TECHNOLOGY CONTRACTS, MODIFICATIONS & OPTIONS

TYPE OF PROCUREMENT METHOD AND/OR RESULTS ACCORDING TO AMOUNT OF AWARD	MUST PLACE BID OPPORTUNITY NOTICE IN MD CONTRACT WEEKLY?	DBM APPROVAL REQUIRED?	MUST PLACE AWARD NOTICE IN MD CONTRACT WEEKLY?	BPW APPROVAL REQUIRED?
Small Procurement (\$25,000 & under)	No ¹	No (except for telecommunications) ₂	No	No
Sole Source (\$25,000 - \$100,000)	N/A	Yes	Yes	No
Sole Source (Over \$100,000)	N/A	Yes	Yes	Yes
Single Bid/Offer Received - (Only one bid/offer received for Competitive Sealed Bids/Proposals) (\$25,000 - \$50,000)	Yes	Yes	Yes	No

¹ Not required but may advertise.

² DBM has not delegated approval authority to any agency for telecommunications procurements for any contract value.

TYPE OF PROCUREMENT METHOD AND/OR RESULTS ACCORDING TO AMOUNT OF AWARD	MUST PLACE BID OPPORTUNITY NOTICE IN MD CONTRACT WEEKLY?	DBM APPROVAL REQUIRED?	MUST PLACE AWARD NOTICE IN MD CONTRACT WEEKLY?	BPW APPROVAL REQUIRED?
Single Bid/Offer Received - (Only one bid/offer received for Competitive Sealed Bids/Proposals) (Over \$50,000)	Yes	Yes	Yes	Yes
Multiple Bids/Offers Received – Competitive Sealed Bids/Proposals (\$25,000 - \$200,000)	Yes	Yes ³	Yes	No
All Methods (Over \$200,000) ⁴	Yes	Yes	Yes	Yes
Contract Modifications ^{5 6} (\$25,000 - \$50,000)	N/A	Yes	No	No
Contract Modifications (If amount of total modification or any cost component exceeds \$50,000)	N/A	Yes	No	Yes
Options ⁷	N/A	Yes	No	No
Options ⁸	N/A	Yes	No	Yes
Preference Purchase (up to \$200,000)	N/A	No ⁹	Yes	No

³ DBM has delegated up to \$50,000 of approval authority to certain agencies for certain procurements (these do not require DBM approval).

⁴ To calculate the value of a contract for approval purposes use the **cumulative** value of the base contract plus all renewal options.

⁵ DBM approval is required for modifications less than \$25,000 if the cumulative value of all agency approvals exceeds \$25,000 or an agency's delegation level from DBM.

⁶ BPW approval is needed for a modification of any amount when the combined value of the modification plus the amount of the base contract and any other modification(s) or option(s) would result in a total contract value over \$200,000.

⁷ If a contract that was approved by the BPW included the projected value of all options the BPW does not need to approve exercising any of the options, regardless of the value of the option. However, DBM approval is still required for any option that cumulatively exceeds an agency's delegation level from DBM.

⁸ If a contract has not previously been approved by the BPW because the value of the base contract and all available renewal options was not expected to exceed \$200,000, but due to circumstances the approval of a particular renewal option would now cause the total contract value to exceed \$200,000, that option must receive BPW approval.

⁹ DBM has delegated to all agencies the authority to approve Preference Purchases which do not exceed \$200,000.

TYPE OF PROCUREMENT METHOD AND/OR RESULTS ACCORDING TO AMOUNT OF AWARD	MUST PLACE BID OPPORTUNITY NOTICE IN MD CONTRACT WEEKLY?	DBM APPROVAL REQUIRED?	MUST PLACE AWARD NOTICE IN MD CONTRACT WEEKLY?	BPW APPROVAL REQUIRED?
Intergovernmental Cooperative Purchasing (\$25,000 - \$200,000)	Yes, if named ¹⁰	Yes	Yes	No
Emergency (over \$25,000)	No	No ¹¹	Yes	Yes

C. Operational Level – Project Management

Description

Activities and vehicles involved with the performance of IT projects.

Overview

OIT issued a Statewide Systems Development Life Cycle (SDLC) methodology in July 2002. Funding for all major IT development projects is dependent on the use of a development methodology consistent with these requirements.

The statewide SDLC is divided into 10 phases of project activity from conception to disposition. For each phase, activities and deliverables are outlined and templates are supplied. Should an alternative development methodology be chosen by an agency for a major IT development project, the major deliverables must be consistent with the intent and content of the deliverables contained in the statewide SDLC.

Security Certification and Accreditation standards have also been issued from OIT. Security considerations are documented in the Systems Security Consensus Document (SSCD). The relevant guidelines are noted on the following chart.

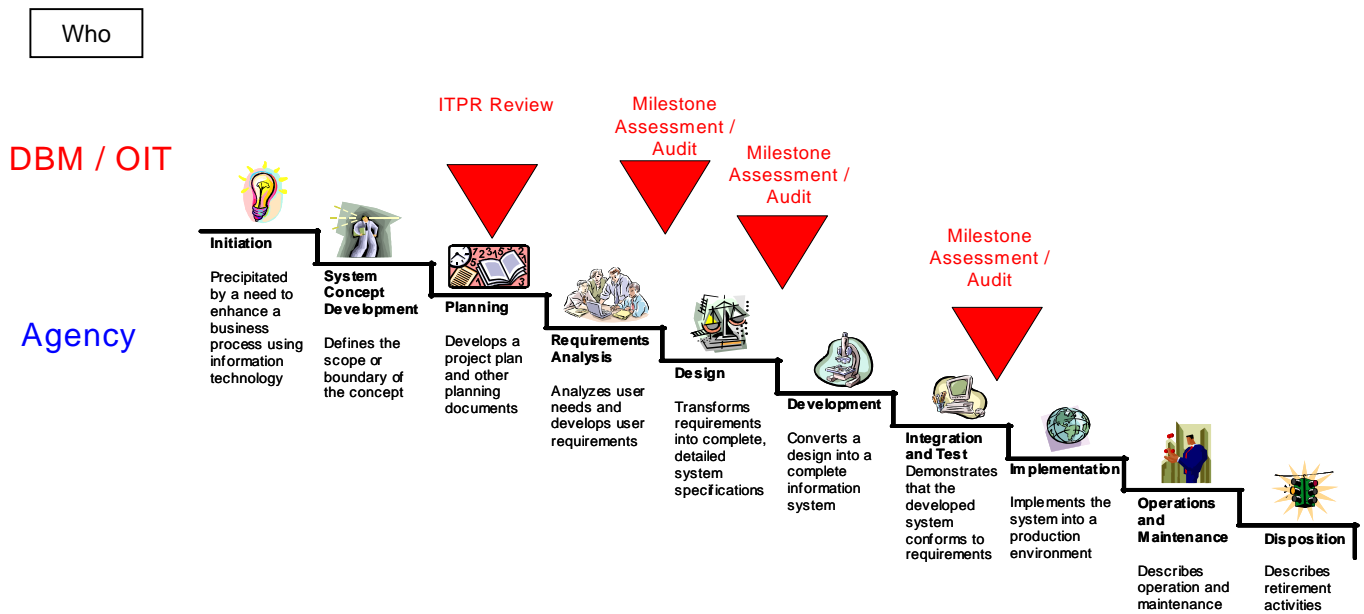
The major milestone points, which present the best opportunity to assess project progress and operations, are indicated on the following chart.

Project Management is a critical aspect in determining project success. The generally accepted standard for project management practices is published by the Project Management Institute, PMI, and is published in the Project Management Body of Knowledge (PMBOK). The major PMBOK process guidelines are indicated on the chart. Information on the PMBOK guide can be found at www.pmi.org.

¹⁰ If a Maryland State agency is named in the solicitation as participating in the resulting contract.

¹¹ Must send notice of emergency action to DBM at the same time as the submission of the item to the BPW for the BPW Secretary's Agenda.

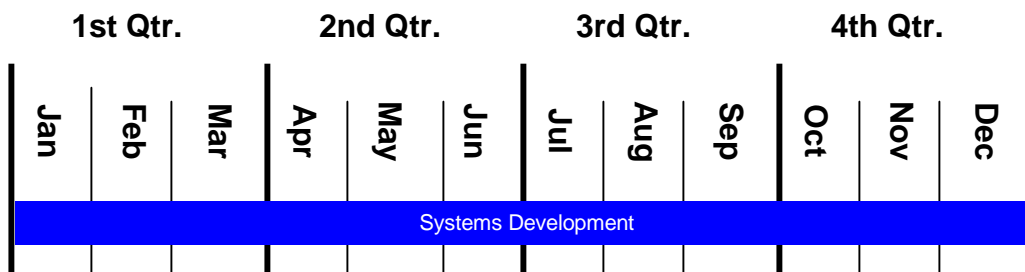
Systems Development Life Cycle Model



SDLC Phase, Key deliverables, and Project Management topic references are presented in the following table

Project Phase	Key Deliverables	Project Management Processes OIT Guidelines or PMBOK (Chapter)
Initiation	<ul style="list-style-type: none"> Concept Proposal Project Management Charter 	<ul style="list-style-type: none"> Initiation Process (5.1)
Concept Development	<ul style="list-style-type: none"> System Boundary Document Risk Management Plan IT Project Request (ITPR) 	<ul style="list-style-type: none"> ITPR Guidelines and Instructions
Planning	<ul style="list-style-type: none"> Project Management Plan Systems Security Consensus Document (SSCD) 	<p>PMBOK Planning Processes</p> <ul style="list-style-type: none"> Scope Planning (5.2) Scope Definition (5.3) Activity Definition (6.1) Activity Sequencing (6.2) Activity Duration Estimating (6.3) Schedule Development (6.4) Risk Management Planning (11.1) Resource Planning (7.1) Cost Estimating (7.2) Cost Budgeting (7.3)
Design	<ul style="list-style-type: none"> Functional Requirements Document Data Flow Diagrams Master Test Plan Updated Risk Management / Project Management Plans Updated SSCD 	<p>Security C&A Definition Guidelines</p> <p>PMBOK Facilitating Processes</p> <ul style="list-style-type: none"> Quality Planning (8.1) Organizational Planning (9.1) Staff Acquisition (9.2) Communications Planning (10.1) Risk Identification (11.2) Qualitative Risk Analysis (11.3) Quantitative Risk Analysis (11.4) Risk Response Planning (11.5) Procurement Planning (12.1) Solicitation Planning (12.2)
Development	<ul style="list-style-type: none"> Software Development Document Application Software Test Files / Data Integration Document Updated Conversion / Implementation / Training Plans Updated Manuals Update Risk Management / Project Management Plans Updated SSCD 	<p>Security Checklist</p> <p>PMBOK Executing Processes</p> <ul style="list-style-type: none"> Project Plan Execution (4.2) Quality Assurance (8.2) Team Development (9.3) Information Distribution (10.2) Solicitation (12.3) Source Selection (12.4) Contract Administration (12.5)
Integration and Test	<ul style="list-style-type: none"> Test Analysis Approval Test Problem Reports Test Files / Data IT Security Certification and Accreditation Updated Conversion / Implementation / Training Plans Updated Manuals Updated Risk Management / Project Management Plans Updated SSCD 	<p>PMBOK Control Processes</p> <ul style="list-style-type: none"> Integrated Change Control (4.3) Scope Verification (5.4) Scope Change Control (5.5) Schedule Control (6.5) Cost Control (7.4) Quality Control (8.3) Performance Reporting (10.3) Risk Monitoring and Control (11.6)
Implementation	<ul style="list-style-type: none"> Delivered System Change Implementation Notice Configuration control Documents Post-Implementation Review Report 	<ul style="list-style-type: none"> Administrative closure (10.4) Contract Closeout (12.6)
Operations and Maintenance	<ul style="list-style-type: none"> In-Process Review User Satisfaction Survey 	<ul style="list-style-type: none"> User / Enhancement Steering Group
Disposition	<ul style="list-style-type: none"> Disposition Plan Post-termination Review Report Archived System 	<ul style="list-style-type: none"> Security C&A Validation Guidelines Disposition Planning / Steering Team Disaster Recovery Guidelines Security C&A Post-Accreditation Guidelines

Timeframe



III. Program Summary Matrix

The following matrix summarizes the components of the program, the responsibilities, and the targeted outcomes as they relate to the program's objectives.

Program Objective	Program Component	Responsibility	Desired Outcome(s)
Project Selection	ITMP / ITPR	Agency with DBM OIT / OBA Review	<ul style="list-style-type: none"> Substantiated business case and project structure for the success of projects receiving appropriated funds
Project Oversight and Reporting	Project Certification	Agency with DBM OIT Review	<ul style="list-style-type: none"> Substantiated project progress for release of withheld funds
	Project Assessments	A. Agency with DBM OIT Audit, or B. Independent IV&V at Agency cost	<ul style="list-style-type: none"> Substantiated project progress for continued funding Effective remediation plans for project issues
Project Performance Improvement	Lessons Learned	DBM OIT compilation from project assessments and agency feedback	<ul style="list-style-type: none"> Critical Statewide Policies and Standards Best Practices proliferation Statewide resource maximization

IV. Program Parameter Matrix

The following matrix defines the operating parameters for the components of the IT Project Portfolio program. These parameters set the boundaries for agency compliance with the program.

Program Component	Project Parameter(s)	Compliance Requirement
IT Master Plan (ITMP)	All Executive Branch Agencies	Submission of Annual ITMP to OIT / ITIM Division before September 1
IT Project Request (ITPR)	All major IT development projects <ul style="list-style-type: none"> \$1 mil. or more total development costs In support of a critical state business function Determined by DBM Secretary to require special attention 	Submission of project funding request through the ITPR system for upcoming fiscal year before September 1
Project Certification form and supporting documentation	All major IT development projects with appropriated funds for upcoming fiscal year	Submission of signed Project Certification form and supporting documentation as requested prior to the release of withheld appropriated funds.

Program Component	Project Parameter(s)	Compliance Requirement
Project Assessments	All active major IT development projects. Assessment type dependent on overall project risk as rated by DBM OIT	On an annual schedule determined by DBM OIT <ul style="list-style-type: none"> Low risk projects will submit a quarterly status report to DBM OIT detailing project progress vs. planned and approved activities. Medium risk projects will submit a project self-assessment consistent with guidelines provided by DBM OIT along with supporting documentation. DBM OIT will conduct audits of the assessment to confirm project status and adequacy of critical project deliverables in accordance with the Statewide SDLC. High risk projects can optionally be required to fund periodic Independent Verification and Validation studies by external consultants to assess project progress and status against approved cost, schedule, and scope parameters.
Project Remediation Action plans	All active major IT development projects with deviations from approved project cost, schedule, and scope of greater than 10%	A remediation plan addressing the actions to be taken to bring the project back in line with approved parameters or justification to establish a new project baseline will be submitted by the agency for DBM OIT review and approval. DBM OIT will determine the timeframe for production and delivery of the remediation plan based on the severity of the issues and deviations present in the project. Continued project funding will be made contingent on the completion of remediation activities.

V. Project Risk Assessment

Project risk ratings will be established using the following factors and rating scale. The ratings will be determined by **DBM OIT** and will be used to determine the type of project assessment to be conducted.

Rating Factors and Scale				
	Weight Factor	Scale		
		Low 1 - 2	Medium 3 - 4	High 5 - 6
Agency Capability and History				
Includes the effectiveness of the agency's project infrastructure, project management experience, and track record of project success.	3	good	average	poor
Strategic Importance				
More attention will be given to major projects with high strategic value or visibility	3	Low Visibility	Normal Visibility	High Visibility
Project Complexity				
The degree to which a project is dependent on new technology, external dependencies, and custom solutions impacts increases the likelihood that unanticipated expenses or delays will occur.	2	Low	Medium	High
Project Size				
It has been shown that larger IT projects are less likely to remain on time, on budget, and within original scope.	1	Up to \$5 Mil.	\$5 - \$10 Mil.	Over \$10 Mil.
Project Risk Score = Weight Factor X Factor Score		0 - 18	19 - 36	37 - 54

VI. Project Assessment Criteria

The following criteria was developed by a working group of agency IT representatives to serve as a guide to assessing the health of a project. It will serve as the base for self-assessments performed by agencies and as a guide for Independent Validation and Verification consulting engagements.

Budget / Cost Status

Subtopic	Criteria	Assessment
Budget Adequacy	Does the current budget reflect all costs of the project, both direct and indirect?	
	Is the budget sufficient to complete the project?	
Cost to Date	What are the project expenditures to date? How do they compare to projected costs?	
Estimate to Complete	What is the estimate to complete?	
	Assess the basis for this estimate.	

Schedule Status

Subtopic	Criteria	Assessment
Project Schedule / Work Breakdown Structure	Is the project schedule adequately documented and is it realistic?	
	Is the project plan feasible from a resource perspective?	
	Is there a basis of estimate?	
	Did the business unit participate in developing the schedule?	
	Does the plan accommodate the state business and legislative cycle?	
	Are there major interim milestones in the project plan?	
Status vs. Plan	Is the baseline schedule being used as a benchmark for the current schedule?	
	Are development tasks tracked against a plan? Has the critical path been identified? Does the project team understand how to manage the critical path?	
	Is there a process to document changes to the schedule?	
	Are variances from baseline documented and tracked? Is the project schedule updated in a timely manner, adequate for the current project?	
	Was the last project milestone completed within 10% of the approved schedule date?	
	Are the current project activities on schedule to complete the next major milestone within 10% of the approved schedule date?	
	Review past performance against milestones and assess likelihood of future project slippage.	

Business Use / Functionality

Subtopic	Criteria	Assessment
Overall Guidance	Have the vision and strategy for the business use of the system been formulated and documented?	
	Are requirements obviously linked to business objectives?	
	Do the requirements adequately support the business needs?	
	Does the project support statewide initiatives (e.g. e-government)?	
	Have acceptance criteria for deliverables been defined?	
Business Process Impacts	Assess the level of planning and preparation for business process changes to maximize the benefit of the project and the readiness of the end users to successfully work with the new system.	
	Have future state business process models been designed and documented?	
	What are the business and operational process implications of this project? Are they documented and communicated?	
Scope Management	How are changes in project scope documented and addressed?	
	Is there a process to document and resolve project issues and are the issues being resolved quickly?	
	Does the project manager have ready access to the purchase order, RFP, and contractor proposal?	
System Performance	Are system performance metrics documented and agreed on by the end users?	
	Does the solution fit the agency and state current and planned infrastructure?	
	Will the infrastructure be available to operate the solution?	
Status vs. Approved Scope	Is the business functionality being developed consistent with the approved requirements and subsequent approved change orders?	

Project Management and Governance

Subtopic	Criteria	Assessment
Project Sponsorship/Steering	Is there a recognized business sponsor?	
	Is the business sponsor sufficiently involved in project activities?	
	Is there a recognized executive sponsor?	
	Is the executive sponsor sufficiently involved in project activities?	
	Is there a sponsor from IT?	
	Is the IT sponsor sufficiently involved in project activities?	
Project Team Structure and Staffing	Assess the project manager's (PM's) experience in managing projects.	
	Is the PM's experience appropriate for the project complexity, type, and phase of activity?	
	Assess the project team's experience in IT system development and deployment.	
	Is the project team's experience appropriate for the project type and phase of activity?	
	Is the project team depending upon the contractor for this?	
	How is the project team organized?	
	Is it appropriate for the project type and phase of activity?	
	How was the project team selected?	
	Does the project team have the skills and experience to manage the contractors?	
	Are contractors managing contractors?	
	Assess the team dynamics and determine if the level and dynamics of the project team acceptable.	
Project Status/Issue Communications	How are communications with other organizations/functions conducted?	
	Are the communications documented?	
	Assess the effectiveness of the communications.	
Escalation Process	Is there a process to document and resolve project issues and are the issues being resolved quickly?	
	Is there a method for managing project issues and escalating problems?	

Project Management and Governance Continued

Subtopic	Criteria	Assessment
Staffing	Are required government skill sets immediately available to start up the project?	
	Is planned or completed training sufficient to bring staff up to requirement on both the business and IT side?	
	Is staff time committed and available?	
	Are business units aware of the requirement for their involvement?	
	Are government and contractor staffs in place and adequately supervised?	
	Has the contractor staff remained stable through the project? If not, have the personnel changes impacted the project cost or schedule?	
	If there are staffing shortfalls, assess how these shortfalls will impact schedules and delivery dates?	

Technical Status

Subtopic	Criteria	Assessment
General	Is the State's approved SDLC being used for this project?	
	If not, is an SDLC compatible with State requirements and appropriate for the project's complexity being used?	
Architecture	Assess the technical architecture and its feasibility	
	Is the technology new and proven?	
	What are the infrastructure implications of this project?	
	Are they documented and adequately communicated?	
	Is the technical solution feasible?	
	Is the team using open technology standards?	
	Are there any proprietary systems under development or propriety COTS used?	
	Does the technical solution present inordinate ongoing maintenance and support requirements in terms of staff skills, license fees, or other costs that will require significant ongoing funding?	

Technical Status Continued

Subtopic	Criteria	Assessment
Security	Has a security risk assessment been performed? Is it adequate for the type and complexity of this project?	
	Has a contingency plan been developed? Is it adequate for the type and complexity of this project?	
	Has the system received security certification and accreditation?	
Standards Compliance	Are coding standards in place and are they adequate?	

Contract / Contractor Status

Subtopic	Criteria	Assessment
Vendor Performance vs. Plan	Does the contractor's proposed schedule of deliverables match the project plan schedule requirements?	
	Assess billings for contractors, HW and SW. Are there any anomalies?	
	Are development tasks tracked against a plan?	
Acceptance Criteria for Deliverables	Have acceptance criteria for deliverables been defined?	
Status Reporting/Invoicing	Review the last three status reports. Do they adequately describe the work performed and any issues?	
	Review the last three invoices. Do they clearly correspond to the relevant status reports?	

Other Assessment Topics

Subtopic	Criteria	Assessment
External factors	Is this project impacted by any external policies, mandates or special interest group practices?	
	Assess the impact of these items.	
Funding	Is the funding adequate for the project?	
	Does the project plan address funding activities for multiple fiscal years	
	Does the project plan address reduced funding contingencies to ensure some usable products are delivered in the event of funding reductions?	
Risk Management Plan	Has a risk management plan been developed? Is it adequate for the complexity of the project?	
	Is the risk management plan updated in a timely manner, adequate for the current project?	
	Does the risk management plan identify risks consistent for this type of project?	
	Does it assess the impact of these risks on the outcome of the project and address mitigation activities for those risks?	
	Has the risk management plan been adequately communicated to the entire project team including the executive sponsor and business sponsor?	
Defect Management	What is the written plan for how test results will be tracked and resolved?	
	Was acceptance testing performed? Were critical problems resolved?	

SDLC Phase Topics

The following assessment topics are specific to the Systems Development Life Cycle phase the project is in. These items can provide additional insight into the effectiveness of the project activities.

Subtopic	Criteria	Assessment
Planning Phase	Has a decision been made for whether the system will be maintained in-house or outsourced?	
	Are planned PINs and funding adequate for operation?	
	Has a financial analysis of expected benefits from the project been prepared (i.e. Return on Investment, Return on Opportunity, or Economic Value Added)?	
Requirements Phase	Is the level of detail sufficient for the type and complexity of the project	
	Is a requirements management process in place to manage changes and ensure trace ability through the entire development process?	
Design Phase	Is there a detailed and complete design specification?	
	Is it consistent with the complexity of the project?	
	Are detailed design elements traceable to detailed requirements?	
Development, Test, and Implementation Phases	Has a Test and Evaluation Master Plan been developed? Is it adequate for the complexity of the project?	
	How is the code quality tested? How are the results documented?	
	Describe the unit, stress, integration, performance and acceptance testing plans. Use cases? Is it documented?	
	Is there a detailed performance and stress test scheduled? Is the test plan adequate?	
	Are the acceptance procedures, criteria standards and guidelines defined and agreed to?	
	Was acceptance testing performed?	
	Were critical problems resolved?	
	Has an implementation plan been developed? Is it adequate for the type and complexity of this project?	
	Has a data conversion plan been developed? Is it adequate for the type and complexity of this project?	